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# United States Senate

COMMITTEE ON  
HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS  
WASHINGTON, DC 20510-6250

September 28, 2005

Director Jim Walker  
Alabama Department of Homeland Security  
P.O. Box 304115  
Montgomery, Alabama 36130

Dear Director Walker:

Pursuant to its authority under Rule XXV(k)(1) of the Standing Rules of the Senate, Section 101 of S. Res 445 (108<sup>th</sup> Congress), and Section 11(e) of S. Res 50 (109<sup>th</sup> Congress), the Committee on Homeland Security and Governmental Affairs has initiated an investigation into the Nation's preparedness for, and response to, Hurricane Katrina. To aid in this investigation, we respectfully request that the Alabama Department of Homeland Security (ADHS) and the Alabama Emergency Management Agency (AEMA) provide the Committee (in accordance with the attached definitions and instructions) with the information and documents requested below.

We are both very aware of Alabama's continued efforts to respond to the destruction of Hurricane Katrina. In fact, we have spent time in the affected areas of the Gulf, and have seen first hand the devastation caused by the hurricane and the efforts currently underway to recover. As noted above, we are making the following requests for information and documents as part of the Committee's investigation into the Nation's preparedness for, and response to, Hurricane Katrina. It is important that such an investigation get underway; however, we do recognize the demands on your time and resources at this critical juncture of recovery. Therefore, we respectfully request that ADHS and/or AEMA provide the Committee with the following information and documents:

1. Organization charts of ADHS and AEMA, and of each component of ADHS and AEMA involved in the response to Hurricane Katrina. Identify the individual(s) who hold or held each key position from August 23, 2005 to the present;
2. Please describe ADHS's and AEMA's respective roles, responsibilities, statutory authorities, and relationships to other Alabama state agencies and/or departments with emergency preparedness and response roles in preparing for and responding to catastrophic incidents. Please provide a list of those Emergency Support Functions activated and a detailed chronology of their activation in connection with Hurricane Katrina;
3. All operative Alabama State, county, and/or local emergency plan(s) as of August 23, 2005, for Alabama and all documents that refer or relate to such plan(s), including:

- a. All implementation procedures for all Emergency Action Levels, referenced in the Alabama State, county and/or local emergency plan(s);
  - b. All plans, procedures, resource inventories, and notification lists within the State Emergency Operations Center (EOC);
  - c. All annexes, appendices, procedures, resource inventories, and notification/recall lists of the State and/or local emergency plan(s);
  - d. All documents that refer or relate to any State and/or local continuity of operations plans;
  - e. All documents that refer or relate to the Federal Emergency Management Agency's (FEMA's) review, consideration, or approval of such State and/or local emergency plan(s); and
  - f. All documents that refer or relate to agencies with primary and/or supporting Emergency Support Functions (ESF), including implementation procedures, plans, arrangements and agreements for those departments, agencies, and offices.
4. Within the context of the State emergency plan(s), identify the State and local agencies or offices involved in the response to Katrina. For each agency or office, describe the role that it plays in the State emergency plan(s) and identify key officials within each agency or office who participated;
5. Identify and provide copies of all authorities, regulations, procedures, policies, and operating guidance related to ADHS's and AEMA's ability to act or task, assign missions to, or seek assistance from other entities or organizations, including, but not limited to, any other State or Federal agency, in responding to an emergency or major disaster. Provide all documents that refer or relate to any such acts, tasks, requests, or mission assignments by ADHS and AEMA in connection with Hurricane Katrina;
6. All documents that refer or relate to the establishment of any internal State organizational structure or Federal/State organizational structure, including joint field offices, following the Alabama Governor's or the President's declarations of emergency or major disaster in response to Hurricane Katrina. Please provide an organizational chart of such structure(s) and identify the individual(s) who hold or held each key position in such organizational structure(s) from August 23, 2005, to the present;
7. Identify by name, title, and responsibilities all key State personnel with responsibility for emergency preparedness and response who have not already been identified in response to a previous item;
8. Please produce all documents from the past five years that evaluate, assess, or describe, in any way, the risks posed to the State of Alabama by a hurricane, including, but not limited to, documents that relate to the knowledge of such risks held by Federal, State, or local officials prior to the landfall of Hurricane Katrina;

9. All documents from the past five years that refer or relate to any planning or exercises conducted to respond to a hurricane scenario in Alabama;
10. Please produce copies of all after-action reports or other assessments for Hurricanes Ivan, Georges, Andrew, Camille, and Betsy, and those prepared over the past five years under the direction of, or under contract through, ADHS and/or AEMA assessing the performance of ADHS and/or AEMA and its/their elements, personnel, or programs in response to catastrophic incidents, including but not limited to, previous hurricanes;
11. All documents that refer or relate to hazard mitigation arising from hurricanes and floods in Alabama for the past five years, including, but not limited to, documents arising from hurricanes and floods that refer or relate to hazard mitigation programs, planning, or assistance under sections 203, 322, or 404 of the Stafford Act;
12. Please identify, and provide copies of, all requests to and grants for emergency preparedness funding and/or assistance received by ADHS and/or AEMA from the Federal government, including but not limited to FEMA and/or the Department of Homeland Security, over the past five years, as well as all annual plans, reports or evaluations received or prepared by ADHS and/or AEMA concerning these requests;
13. Any ADHS and/or AEMA budgets or audit reports for the past five years;
14. Identify any individual(s) appointed as State Coordinating Officer and Governor's Authorized Representative for the emergencies and major disasters declared for Hurricane Katrina in Alabama. Provide all documents within the possession or control of ADHS and/or AEMA that refer or relate to these individual(s) from August 23, 2005 through September 6, 2005;
15. Within the universe of documents created between the dates of August 23, 2005, and September 6, 2005, and which refer or relate to Hurricane Katrina, please produce:
  - a. All documents that refer or relate to declarations of emergency or major disaster under the Stafford Act for Hurricane Katrina, including, but not limited to, gubernatorial requests for such declarations, any internal ADHS and/or AEMA consideration, analysis and recommendations regarding declaration requests, and FEMA-Alabama agreements executed pursuant to the declarations and any amendments to such agreements;
  - b. All weather reports and maps created, obtained, or used by ADHS and/or AEMA;
  - c. All communications between ADHS and/or AEMA and (1) the Federal government, including but not limited to, the Federal Emergency Management Agency (FEMA), and (2) any other Alabama State, county, and/or local emergency agencies or departments, including, but not limited to, any requests by ADHS and/or AEMA for Federal assistance in preparation for, or in response to, Hurricane Katrina;
  - d. All communications, between ADHS and/or AEMA and any State office, department

or agency (other than the State of Alabama), including but not limited to, any requests by ADHS and/or AEMA for State assistance in preparation for, or in response to, Hurricane Katrina; and

e. All notes, recordings, videotapes and any other documents from meetings, teleconferences, or video-conferences;

16. Identify all contractors or subcontractors to ADHS and/or AEMA that assisted in responding to Hurricane Katrina between the dates of August 23, 2005, and September 6, 2005, and provide a detailed description of their activities undertaken on behalf of ADHS and/or AEMA;

17. Please provide a detailed description of how and when ADHS and/or AEMA was first informed that it would have to take action to prepare for and respond to Katrina. Please be specific as to dates, times, and personnel involved;

18. Please provide a detailed chronology and description of all evacuations coordinated by the State and/or ADHS and/or AEMA relating to Hurricane Katrina, including who ordered the evacuations, where evacuees were evacuated to, and under what authority such evacuations were ordered and carried out. Please provide copies of all State evacuation orders;

19. To the extent not already provided in the responses to previous questions and requests, please identify and describe all actions taken by ADHS and/or AEMA in preparation for Hurricane Katrina, starting on August 23, 2005, and continuing through landfall on the Gulf Coast;

20. Please describe all ADHS's and/or AEMA's actions taken between the dates of August 23, 2005, and September 6, 2005, to ensure that adequate and interoperable emergency communications capability would be available to government officials, first responders, and others involved in the response to Hurricane Katrina. Please be specific as to dates, times and personnel involved;

21. All ADHS and/or AEMA documents, from August 23, 2005, to September 6, 2005, referring or relating to emergency communications in the areas affected by, or expected to be affected by, Hurricane Katrina, including, but not limited to, requests for assistance with communications and plans to address communications failures;

22. Please identify all key ADHS and/or AEMA personnel with responsibility for emergency and interoperable communications in the areas affected by, or expected to be affected by, Hurricane Katrina;

23. All documents, from August 23, 2005, to September 6, 2005, constituting, referring or relating to communications between ADHS and/or AEMA personnel and Federal, State, or local officials or first responders, or with others in the private or nonprofit sectors, regarding assistance or offers of assistance relating to Hurricane Katrina;

24. All documents, from August 23, 2005, to September 6, 2005, constituting, referring, or relating to communications between ADHS and/or AEMA personnel and Federal, State, or local officials or first responders, or with others in the private or nonprofit sectors, regarding the failure or inadequacy of emergency communications; and

25. Describe the command staff responsible for the response to Hurricane Katrina, including how this command staff complied, or failed to comply, with the principles set forth in NIMS. Was the command a unified command? If not, what was it? Identify all individuals within the command. Please explain in detail how the command exercised control over each aspect of the response.

We request that these documents and information be provided as they become available but no later than October 27, 2005. If you or your staff have any questions concerning this request please contact David Porter of the Committee's majority staff at 202-224-4751 or Josh Levy of the Committee's minority staff at 202-224-2627.

We thank you and your staff in advance for your cooperation.

Sincerely,



Susan M. Collins  
Chairman



Joseph I. Lieberman  
Ranking Member

CC: Governor Bob Riley  
Director Bruce P. Baughman, Alabama Emergency Management Agency